1 7 AUG 1981

ODP #*81-1074*

MEMORANDUM FOR: Director of Data Processing

FROM: Thomas H. White
                    Director of Information Services

SUBJECT: Planning for the Records Management Division

1.   Attached is a copy of a proposal I am sending to the ADDA concerning a reorganization of our Records Management Division to better carry out its responsibilities. A significant part of this proposal centers on enhancing the ability of the Information Technology Branch to develop and manage The Records Information System (TRIS), an integrated ADP system based on standardized procedures for records inventory and control. A major TRIS subsystem objective is to standardize the design of automated registries throughout the Agency. Since these activities fall within the purview of our records management responsibilities, I believe that the design and development of the subsystems under TRIS should be carried out by a project team staffed by computer specialists under the control and direction of the Information Technology Branch. You may differ on this however. Before embarking on such a major undertaking, I would want your concurrence and pledge of support.

2.   Presently, there are two ODP computer specialists assigned full time to ITB to carry out a wide range of ADP developmental and managerial requirements, as well as the development of TRIS. As you will see, our proposal recommends the establishment of eight new full-time positions in ITB, including four new positions for computer specialists assigned on rotation from ODP.

Thomas H. White

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Attachment:
  As stated

ITB

Planning, Organization, and Staffing

16 July 1981

Introduction

This paper contains a proposal for building the Records Information System (TRIS) and for enhancing the management of non-textual records. The Information Technology Branch (ITB) in the Office of Information Services is responsible for the design, development, and operation of TRIS, and for the management of three non-textual records programs. If ITB is given the necessary resources, substantial improvements will accrue in the management of information throughout the DDA and Agency-wide.

TRIS is concerned with the tools and techniques for inventorying and controlling documents, files, and other collections of records. Its heart is a standard accounting system that can meet all individual and organizational needs for information about records. If such an accounting system is developed and implemented in Agency registries and file rooms, records management effectiveness and efficiency will be improved through the elimination of incompatible systems and duplication of effort in maintaining records inventories.

TRIS is as important as any ADP system developed in the DDA. TRIS can improve the quality of intelligence the Agency produces by providing an effective system for the inventory and control of information. It is an ambitious system and will require expert knowledge and skills to build and operate. TRIS is needed to help the Agency better manage its growing volume of information. It will center around the functions of component records management officers as managers of valuable Agency resources, and will require a highly sophisticated blending of office automation equipment, computer technology, software engineering, and data standardization.

TRIS will be an Agency-wide system because documents and other records flow across all organizational boundaries. Although managers of records systems will be the primary users, TRIS should serve any employee who needs information about records, and who wants to collect such information manually or in a computer. The types of registry and file room activities for which TRIS should be used are:

Document abstracting and indexing

Document and file folder tracking

Classified document accountability

Inventories of computer tapes, motion pictures, still pictures, sound recordings, and maps

Preparation of document distribution lists, mailing labels, and receipts

Non-Textual Records are the photographs, maps, sound recordings, computer data files, and any other records that components maintain in a medium based on advanced information technology. The Agency is required to have active programs for the effective and efficient management of such records, and for controlling their creation, organization, maintenance, and disposition. ITB, which manages these programs, must be able to provide components with expert technical advice and assistance on the care and handling of these information media.

Proposal

The Information Technology Branch has a currently authorized ceiling of 11 full-time positions and two part-time positions. To have the capability of carrying out its responsibilities we propose to increase the number of branch positions by eight and to establish three sections. Two sections will be concerned with TRIS, and the other with non-textual records.

> TRIS Design and Development Section staffed by six computer specialists

> TRIS Operations Section staffed by five full-time and two part-time systems support personnel

> Non-Textual Records Section staffed by six information management analysts

Each section chief would report to Chief, ITB and be responsible for the work performed and the supervision of section employees. ITB also would have a branch secretary.

I. TRIS

a. Staffing for TRIS Design and Development

We face tremendous challenges as we assume a leadership role in the design and development of this major ADP system. One of these challenges is similiar to that faced by the APEX project. But where APEX managers tried to design and build a system to control one category of documents, we need to design and build a system to control all categories of records. Indeed, we are in the early stages of a major systems development effort.

A fundamental question is whether the design and development of the subsystems of TRIS should be carried out within and under the control of ODP or by a consolidated design and development project team staffed by computer specialists under the control and direction of ITB. Emphatically, we believe overall control of TRIS must be with ITB in order to achieve our goal of standardization. In accordance with HR[   ], the   STAT
Records Management Division "...develops and encourages the application of standards, procedures, and techniques designed to improve the management of records..."

We do not now have enough computer specialists to achieve this goal. Presently full-time TRIS design and development is carried out by two

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b. Staffing for TRIS Operations

The term "operations" primarily refers to the necessary day-to-day maintenance of the TRIS system: data entry, data changes, data management, and report preparation for the RAMS, ARCINS, DARE, DECAL, and FARMS programs. In addition, the DDA recently approved transfer of the Top Secret Control Program and the Top Secret Control Automated Data System (TSCADS) from the Office of Security to OIS. This work now resides within ITB and also falls under "operations." In order to manage this and the other TRIS programs properly, and to avoid future occurrences of the huge backlog in TSCADS, we propose establishment of a

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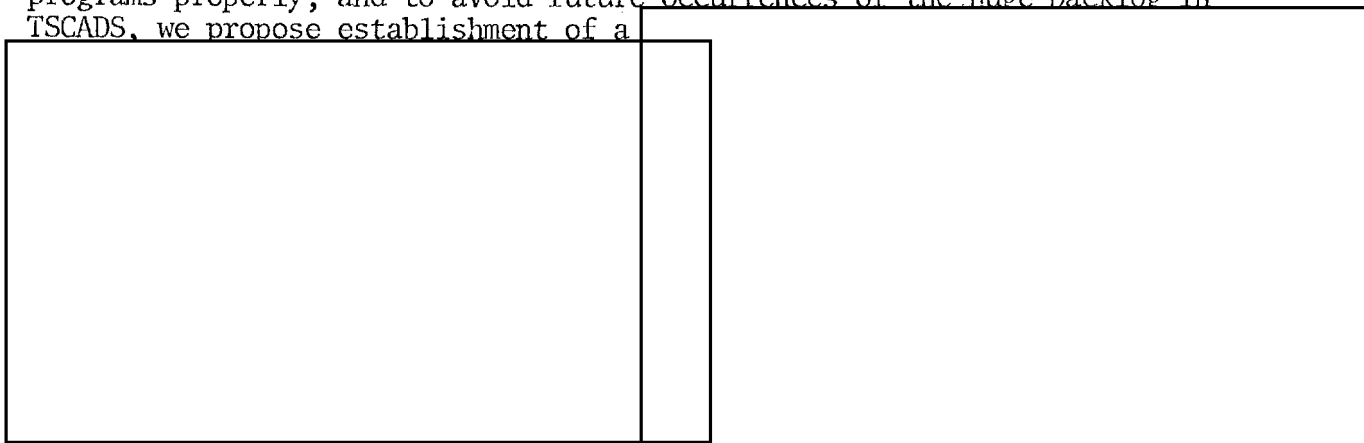
II. Non-Textual Records

ITB manages three of the Agency's records programs:

ADP Records

Audiovisual Records

Micrographics

Each program relates to records maintained in a medium based on advanced information technology. The work involves traditional records management functions of establishing policy and procedures related to records creation, maintenance, and disposition; evaluating systems for conformance

with established policy and procedures; and assisting component records management officers in disposition scheduling and establishing proper filing systems. In addition to these functions ITB must develop expertise in applying the technologies to which these records are tied. ITB has established such expertise in the field of micrographics, but there are many newer technologies, such as video disks and electronic mail, about which we have a lot to learn.

If ITB is to meet its management responsibilities for non-textual records, it must have a sufficient number of qualified people to participate Agency-wide in decisions on applying new technologies to solve information handling problems. ITB cannot advise records custodians on managing these new systems if it is not able to get out of its office and into theirs. At least one GS-13 Information Management Analyst is needed for the micrographics program and one is needed for the audiovisual program. Because there are over a thousand ADP applications in the Agency, and because of the complexity of each ADP system, we propose
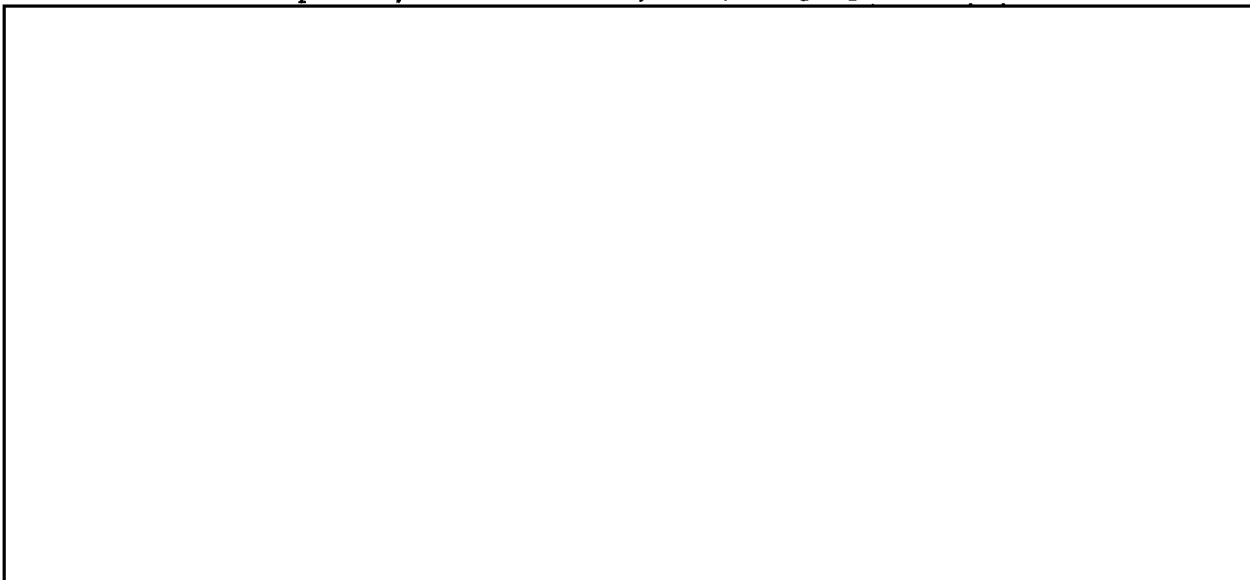
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RSB

Planning, Organization, and Staffing

16 July 1981

Introduction

This paper contains a proposal for enhancing the ability of the Records Systems Branch (RSB) to carry out regularly scheduled records management surveys throughout the Agency. RSB is the component within the Office of Information Services primarily responsible for implementing the policies and procedures relating to the Agency Records Management Program. This program provides for establishing controls over the creation, maintenance, use, and disposition of all Agency records; for developing standards, procedures, and techniques to improve the management of records; for ensuring the maintenance and security of records of permanent value; and for facilitating the segregation and disposal of records of temporary value.

<u>Proposal</u>   STAT

A records survey is a vitally important initial step in helping a
component establish effective control over the management of its records.
It is the basis upon which a component identifies its records, establishes
an effective filing and retrieval system, and prepares its records control
schedules which constitute the basic documentation for proper records
disposition. It also is a means by which RSB can evaluate the extent to
which a component is adhering to established records management policy and
procedures. Although RSB has been able to respond to component requests for
records surveys, the press of day-to-day duties upon its personnel has
not allowed the branch to schedule such surveys on a regular basis and to
systematically cover the entire Agency. Addition of the proposed positions
would enable RSB to devote two individuals full-time to this most important
service.